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PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

501.35286C15

First Inventor

MIYAZAKI, CHUICHI

Title

SEMICONDUCTOR DEVICE AND MANUFACTURING METHOD  
THEREOF

Express Mail Label No.

## APPLICATION ELEMENTS

SEE MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages: 84]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table,  
or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Pages: 43]
5. Oath or Declaration [Total Pages: 3]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
  - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
Named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b)
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & documents(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☐ Copies of IDS Citations  
Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☒ Other: **Claim for For. Priority; Cross-Ref. to Related  
Applications**

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/771,670

Prior application information: Examiner: L. Thai Group Art Unit: 2811

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

<input checked="" type="checkbox"/> Customer Number or Bar Code Label	020457	or <input type="checkbox"/> Correspondence address below	
(Insert Customer No. or Attach bar code label here)			
Name	ANTONELLI, TERRY, STOUT & KRAUS, LLP		
Address			
City	State	Zip Code	
Country	Telephone	(703) 312-6600	Fax (703) 312-6666
Name	Larry N. Anagnos	Registration No. (Attorney/Agent)	32,392
Signature	Larry N. Anagnos	Date	January 30, 2002

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

## Complete if Known

Application Number	R53(b) Cont. of SN 09/771,670
Filing Date	January 30, 2002
First Named Inventor	MIYAZAKI, CHUICHI
Examiner Name	L. Thai
Group Art Unit	2811
Attorney Docket No.	501.35286C15

TOTAL AMOUNT OF PAYMENT 740.00

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit overpayments to:
- Deposit Account Number 01-2135  
Deposit Account Name Antonelli, Terry, Stout & Kraus, LLP
- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17
- ☐ Applicant Claims small entity status.  
See 37 CFR 1.27

2. ☒ Payment Enclosed:
- ☐ Check ☒ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

## 2. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	
<b>SUBTOTAL (1)</b>					740.00

## 1. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
8 -20**	= 0	x	=
Indep. Claims 1-3**	= 0	x	=
Multiple Dependent			=

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2) \$</b>				

\*\*or number previously paid, if greater; For Reissues, see above.

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examination action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	For each additional invention to be examined (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

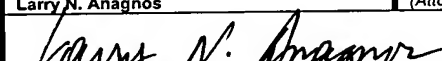
Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type)	Larry N. Anagnos	Registration No. (Attorney/Agent)	32,392	Telephone	703-312-6600
Signature		Date	01/30/2002		

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PATENT APPLICATION SERIAL NO. \_\_\_\_\_

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE  
FEE RECORD SHEET

02/04/2002 DTESSEM1 00000066 10058709

01 FC:101

740.00 OP

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): C. MIYAZAKI et al  
Serial No.: (New continuation application under  
37 CFR §1.53(b) of application  
Serial No. 09/771,670)  
Filed: January 30, 2002  
For: SEMICONDUCTOR DEVICE AND MANUFACTURING  
METHOD THEREOF  
Group: 2811  
Examiner: L. THAI

CROSS-REFERENCE TO RELATED APPLICATIONS

Assistant Commissioner of Patents  
Washington, D. C. 20231

January 30, 2002

Sir:

In the matter of the above-identified application, Applicants would like to bring to the Examiner's immediate attention all continuing applications (including ten (10) previously filed applications and the four (4) additional applications [including the above-referenced application]) which were filed under 37 CFR §1.53(b), respectively, and which have as a basis the same prior, original application and continuing application thereof, as that corresponding to the above-referenced application, which are listed on page 1 of the specification following the title of the invention. Namely, all eleven continuations and three

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divisionals (including the above-referenced application) which have as a basis the prior U.S. Application Serial No. 09/449,834 (the CPA of which was allowed) and which, in turn, was based on the prior, original U.S. Serial Application Serial No. 08/822,933, filed March 21, 1997, now abandoned, are listed as follows:

Type	Serial No.	Filing Date	Status	Atty. Dkt.
CONT.	09/760,733	01/17/01	Allowed	501.35286CC2
CONT.	09/764,378	01/19/01	Allowed	501.35286CC3
CONT.	09/765,376	01/22/01	Pending	501.35286CC4
DIV.	09/768,451	01/25/01	Allowed	501.35286VC5
CONT.	09/768,288	01/25/01	Pending	501.35286CC6
CONT.	09/770,493	01/29/01	ABD	501.35286CC7
DIV.	09/770,494	01/29/01	Allowed	501.35286VC8
CONT.	09/771,670	01/30/01	Allowed	501.35286CC9
CONT.	09/771,648	01/30/01	Pending	501.35286C10
DIV.	09/771,985	01/30/01	Pending	501.35286V11
CONT.	N.Y.A.	01/30/02	Pending	501.35286C13
CONT.	N.Y.A.	01/30/02	Pending	501.35286C14
CONT.	N.Y.A.	01/30/02	Pending	501.35286C15
CONT.	N.Y.A.	01/30/02	Pending	501.35286C16

Attached hereto, also, is a chart showing the file history and relationship of the eleven (11) continuation applications and

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the three (3) divisional applications which are, respectively, based on the same original continuation series including prior, U.S. Application Serial No. 09/449,834, which was filed as a continuation of prior, original U.S. Application Serial No. 08/822,933, as noted earlier.

The mentioning of the above-noted file histories is being made, at this time, in order to complete the record in keeping with the Duty of Disclosure/Candor Requirements. Acceptance and formal entry therefor of this paper, which is also being filed in connection with each of the other listed continuing applications concurrently filed herewith, is respectfully requested.

If any costs are due, kindly charge any fees due in connection with the filing of this paper to the Deposit Account of Antonelli, Terry, Stout & Kraus, LLP, Dep. Acct. No. 01-2135 (501.35286C15), and please credit any excess fees to such deposit account.

Respectfully submitted,  
ANTONELLI, TERRY, STOUT & KRAUS, LLP

  
\_\_\_\_\_  
Larry N. Anagnos  
Reg. No. 32,392

LNA/dks  
(703) 312-6600

SERIAL NO. 08/822,933 Filed March 21, 1999  
Your Ref: Our Ref. 501.35286X00

SERIAL NO. 09/449,834 Filed November 26, 1999  
Your Ref. Our Ref. 501.35286CX1  
CPA filed on June 20, 2001 as C12-Allowed

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Cont. Serial No. 09/760,733	501.35286CC2 filed January 17, 2001 Allowed
Cont. Serial No. 09/764,378	501.35286CC3 filed January 19, 2001 Allowed
Cont. Serial No. 09/765,376	501.35286CC4 filed January 22, 2001 Pending
Div. Serial No. 09/768,451	501.35286VC5 filed January 25, 2001 Allowed
Cont. Serial No. 09/768,288	501.35286CC6 filed January 25, 2001 Pending
Cont. Serial No. 09/770,493	501.35286CC7 filed January 29, 2001 ABD
Div. Serial No. 09/770,494	501.35286VC8 filed January 29, 2001 Allowed
Cont. Serial No. 09/771,670	501.35286CC9 filed January 30, 2001 Allowed
Cont. Serial No. 09/771,648	501.35286C10 filed January 30, 2001 Pending
Div. Serial No. 09/771,985	501.35286V11 filed January 30, 2001 Pending

CONT. 501.35286C13  
N.Y.A. filed: 01/30/02  
Pending

CONT. 501.35286C14  
N.Y.A. filed: 01/30/02  
Pending

CONT. 501.35286C16  
N.Y.A. filed: 01/30/02  
Pending

CONT. 501.35286C15  
N.Y.A. filed: 01/30/02  
Pending